

Case Management Unit: Opportunity Resources Incorporated Region V DD Case Managers

Dates of Review: 1/30/08, 2/11/08, 2/12/08, 2/20/08, 2/27/08-2/29/08, 3/6/08

Case Managers Reviewed: Randy Kenyon, CM Supervisor (#1); Peter Pelchen, (#2); Pat Grant, (#3); Rhonda Vick, (#4); Jennifer Ball, (#5); Denise Runyan, (#6); Carla Holman, (#7); Sandy Romey, (#8); Kathy Boyle, (#9); Barry Flannagan, (#10); Vicki Lund, (#11); Jan Sneed, (#12); Jane Shigley, (#13); Katie DuBosque, (#14); and Kathy NoRunner (#15).

Quality Improvement Specialist: Kara Gehring, DDP, Flathead and Lincoln Counties
 Paula Sherwood, DDP, Sanders County
 Roy Holmstrom, DDP, Lake County
 Denise Smith, DDP, Ravalli County
 Sheri Pullium, DDP, Ravalli County

CM Supervisor: Randy Kenyon, ORI

The contracted DD Case Management unit in Region V, ORI, had a Quality Assurance review completed during FY '07, with only minor corrections needed. Almost all files in the FY '08 review had up to date current and accurate information, as well as, required documentation/ forms. All files were lacking new requirements in regard to technical assistance for the Waiver and training in regard to abuse and neglect reporting procedures. Further, of notable concern is the case load size of a few individuals.

Case load sizes:

County	Case Manager	Weekly Hours	Case Load Size	Max case load allowed	# of files reviewed
Flathead Kalispell	#1	40	8	12	2
	#2	40	40	35	2
	#3	40	36	35	2
	#4	40	34	35	2
	#5	40	33	35	2
	#6	40	32	35	2
	#7	40	29	35	2
Lincoln	#8	40	48	35	2
Sanders	#9	20	17	17	1
	#10	40	35	35	2
Lake	#11	40	30	35	2
	#12	40	30	35	2

Ravalli	#13	40	38	35	2
	#14	40	38	35	2
	#15	20	15	17	2

The above data suggests case loads vary, and some full time case managers have a larger case load than 35 (2008 contract, appendix c, section 3.1.3 and 4.1.5.3). Although for the most part case management services are provided appropriately, in Lincoln county face to face contacts proved difficult due to an overage on case load by 13 consumers. Three other case manager's case loads ranged from 3-5 consumers in excess of the required 35 (QAOS, #1). IP meetings, referral updates, etc. were for the most part completed within the regulated time frames; some variances occurred and will be outlined in the report.

Fifteen files of consumers in services were reviewed. Fourteen files of consumers in CM only services were reviewed. Case manager #9 does not have consumers who are receiving case management services only on her caseload.

Standards for Consumers in Services:

Contacts:

CM face-to-face contacts are required in the Montana State Plan and contract with ORI (section 3.1.2 and 4.1.5.1-2). CM contacts and unit billing is dictated by these requirements and for individuals in services 6 face-to-face contacts per year are required.

Fifteen files were reviewed for consumers in services, 1 per case manager. The required 6 face-to-face contacts were completed, aside from two files reviewed. In fact, a trend with the number of face to face contacts indicated in general that contacts are well above the required yearly amount. Annual face to face contacts ranged from 3-24 based on the individual's situation.

Consumer's who only had 3 face to face contacts were either due to an overage in the case manager's case load (CM #8, consumer [redacted]) (QAOS, #1), or the case was transferred without appropriate contacts (CM # 6, consumer [redacted]).

Client Survey & Waiver 5 requirement:

Of the fifteen files reviewed, thirteen had both the Client Survey and the Waiver 5 form on file. One file reviewed (consumer [redacted], CM, #4) was lacking both forms. One file was missing the entire client survey (consumer [redacted], CM #13). Also noted consumer [redacted]'s client survey was completed by staff, versus family or consumer (this particular consumer lives at home, staff are challenged to provide services).

Services Delivered per IP (quarterlies), IP within 365 Calendar Days, Services Coordinated, and Protocols followed for Abuse & Neglect:

Of the fifteen files reviewed nine document that CM's ensure services were delivered according to the IP and that the CM was involved in the coordination of services. In fact, at times, documentation indicated CM directly transported consumers to necessary appointments. Of the six files that did not provide complete documentation, consumer , CM #4 documentation did not exist regarding services being delivered according to IP. Consumer 's file contained appropriate documentation, question remains if services are completely delivered according to IP as this consumer has a long range goal of Disneyland, but no objective to work toward the long range goal (CM #5). Another consumer's file indicated that services were coordinated and delivered according to the IP, but the individuals plan had not been redone within 365 calendar days (11/05 and 5/07), this case was recently transferred, documentation did not exist as to why there was not an IP completed in year 2006 (CM #6, consumer).

Consumer 's file did not contain recent quarterlies, nor did it contain documentation requesting quarterlies, it is difficult to ascertain if services are delivered according to IP without quarterly reports (CM #8). Case manager #13, consumer 's file contained quarterly reports, however only one goal was reported as being worked on and two incomplete documents regarding progress were in the consumer's file, documentation of request for information did not exist. Case manager #15, consumer 's file contained quarterly reports, but it was difficult to ascertain if services were delivered according to the IP, also documentation did not exist regarding the coordination of services.

All protocols for abuse, neglect, exploitation concerns were followed appropriately, aside from one individual living in a facility that is not a DD qualified provider. Incident management committee meetings do not occur at this facility; hence, following abuse, neglect and exploitation protocols is not concrete and questions linger as to how protocols are followed. (CM #4, consumer). ORI case managers take mandatory reporting very seriously and work closely with protective services Further, case managers are present in weekly incident management meetings and add to discussion regarding incidents; a tactic to aid in abuse prevention.

Provides Training Regarding Abuse Reporting and Provides Technical Assistance for the Waiver:

Documentation in regard to providing training concerning abuse reporting procedures and technical assistance for the waiver was a new requirement for the fiscal year 2008 contract. All fifteen files reviewed did not contain official documentation regarding the aforementioned topics. A couple of case manager's case notes indicated training in regard to abuse reporting, as well as, technical assistance for the waiver, but formal documentation did not exist. Either a formal document with respect to the two above mentioned topics, or a specific denoted case note that documents the above was

completed should be in place. Further, the training and technical assistance needs to be on-going and documented as such.

Standards for Consumers in CM Service only:

Contacts:

Eleven of fourteen files reviewed contained the required annual four face to face contacts. Face to face contacts were difficult to track in the notes; hence, in a couple of files it was difficult to determine if four face to face contacts took place within a year. Two of the three files that did not contain the required face to face contacts were due to extraneous circumstances out of the case manager's control. One individual lives in a different State and the other individual was just determined eligible to receive services in November 2007, one face to face contact has been made since eligibility has been determined. The final individual without four face to face contacts was consumer [redacted], case manager #15, case note documentation suggests that the CM requires this individual to come to the office for services versus meeting the consumer in an environment of his/ her choice.

Completed signed ISP:

Eleven of fourteen files contained current signed ISPs. Case manager #5, consumer [redacted]'s last ISP is dated 7-24-06; case note documentation shows several attempts of contacting this consumer, attempting to set up a time to meet, review ISP and make revisions as necessary to no avail. Consumer [redacted] was just determined eligible, case manager #10 is working on appropriate service plan documentation. Case manager #15, consumer [redacted] did not have an ISP, documentation suggests the case manager has an expectation of the consumer coming to the office in order to draft such a document. Suggestion from the QIS completing the review includes meeting the client where he is versus expecting this individual to come to the office.

Referral up-to-date:

Six of fourteen files did not contain referral information. The six consumers without a service referral were interested in case management services only. The remaining eight files reviewed contained up to date referral information.

Coordination of resources:

Thirteen out of fourteen files reviewed contained documentation that suggest additional resources available were coordinated by the CM. Case manager #15, consumer [redacted]'s file did not contain documentation suggesting additional available resources are being accessed.

Provides Training Regarding Abuse Reporting and Provides Technical Assistance for the Waiver:

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Summary:

Opportunity Resources Incorporated, Case Management unit is incredibly active and involved with consumers. The case managers employed are passionate about their jobs, take requirements seriously, and follow through on most aspects of case management. ORI case management in Region V, is a professionally run organization whom advocates for consumers to the highest degree.

One requirement that ORI must provide a plan of correction for is how to assure case loads for all case managers do not exceed 35 for full time employees. As referenced above in this report, overage in case loads decreases the ability of the case manager to provide appropriate services and this is a requirement outlined in the FY '08 contract.

A couple of other recommendations include: drafting a policy that will fulfill the requirement of providing training regarding abuse and neglect reporting procedures and technical assistance. This policy should include a concrete fashion of documenting the above occurred and is occurring on an on-going basis. Also, if a client is unable for some reason to come to the case management office to participate in required planning and sharing of service information the case manager needs to revise contact tactics and hopefully meet the client in an environment of his/ her choice. Additionally, case managers must be privy to the extent services are provided by an agency. It was difficult to ascertain if services were delivered according to the IP because quarterlies did not exist in some files or were incomplete. I would suggest that case managers request this information if not automatically received and document in case notes that information has been requested. When quarterlies provide information that programs are not being run as arranged, I would suggest the case manager inquire as to why and possibly set up a special IP to address programmatic deficiencies. Lastly, if a case is transferred, there needs to be a measure in place to aide the new case manager in determining what needs to be done, and hopefully IPs will be completed within 365 days.

Overall: Good Job ORI!!

Region V ORI Case Management Review
Period Covered 2/07 – 2/08, Date submitted, 3/21/08

**** Please note that the QAOS has not been responded to because the supervisor is on vacation.*****

Respectfully submitted:

Kara Gehring, QMRP
Quality Improvement Specialist
Developmental Disabilities Program

cc: Tim Plaska, Community Services Bureau Chief DDP
John Zeeck, Quality Assurance Specialist DDP
Perry Jones, Waiver Specialist DDP
Paula Tripp, Region V, Regional Manager
Roy Holmstrom, DDP, QIS
Paula Sherwood, DDP, QIS
Sherri Pullium, DDP, QIS
Denise Smith, DDP, QIS
Jack Chambers, CEO, ORI
Ted Stelter, Board President, ORI